

## APPENDIX A

### LEVEL OF PERFORMANCE DEFINITION FOR OBJECTIVES AND RESPONSIBILITIES

EXCELLENCE -- Consistently exceeds level described by standards and documented expectations; frequently produces more and/or better than expected.

SUCCESS -- Usually performs at the level described by the standards and documented expectations. Quality/quantity of accomplishments are generally at expected levels. Strengths clearly outweigh weaknesses.

NEEDS IMPROVEMENT -- Sometimes performs at level described by standards and documented expectations. However, fails enough so that weaknesses slightly outweigh strengths.

FAILS -- Frequently fails to perform at levels described by standards and documented expectations. Rarely achieves expected results. Weaknesses clearly outweigh strengths.

## **APPENDIX B**

### **BASE SYSTEM**

#### **OVERALL RATING FORMULAS**

##### **SUCCESSFUL**

###### **LEVEL 1**

**Ratee With No Supervisory Duties** is rated EXCELLENCE in 3 or more of the non-supervisory Responsibilities and SUCCESS in the remainder.

**Ratee With Supervisory Duties** is rated EXCELLENCE in 4 or more Responsibilities - at least one of which must be either SUPERVISION/LEADERSHIP or EEO/AA - and SUCCESS in remainder.

###### **LEVEL 2**

**Ratee With No Supervisory Duties** is rated EXCELLENCE in either two or one of the non-supervisory responsibilities and SUCCESS in the remainder.

**Ratee With Supervisory Duties** is rated EXCELLENCE in either two or three of the non-supervisory responsibilities - one must be either Supervision/Leadership or EEO/AA - and SUCCESS in the remainder.

###### **LEVEL 3**

**Ratee With No Supervisory Duties** is rated SUCCESS in ALL rated responsibilities.

**Ratee with Supervisory Duties** is rated EXCELLENCE in one or more non-supervisory responsibilities but SUCCESS in both Supervision/Leadership and EEO/AA or who is rated SUCCESS in all non-supervisory responsibilities and EXCELLENCE in either Supervision/Leadership or EEO/AA.

**FAIR** -Ratee is rated NEEDS IMPROVEMENT in 1 or more Responsibilities and is NOT RATED FAILS IN ANY.

**UNSUCCESSFUL** - Ratee is rated FAILS in 1 or more Responsibilities - regardless of ratings assigned remaining Responsibilities.

## **APENDIX C**

### **SENIOR SYSTEM**

#### **OVERALL RATING FORMULAS**

##### **SUCCESSFUL**

###### **LEVEL 1**

**Ratee With No Supervisory Duties** is rated EXCELLENCE in 75% or more of rated Objectives and SUCCESS in remaining Objectives.

**Ratee With Supervisory Duties** also must be rated EXCELLENCE in 75% or more of ALL rated Objectives - which MUST include EXCELLENCE ratings for either Organizational Management/Leadership Objective(s) - and SUCCESS in others.

###### **LEVEL 2**

**Ratee With No Supervisory Duties** is rated EXCELLENCE in 25-74% of rated Objectives and SUCCESS in remaining Objectives.

**Ratee With Supervisory Duties** also must be rated EXCELLENCE in 25-74% of ALL rated Objectives - which MUST include EXCELLENCE ratings for either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s) and SUCCESS in others.

###### **Level 3**

**Ratee With No Supervisory Duties** is rated SUCCESS in ALL rated Objectives or EXCELLENCE in 1% through 24% and SUCCESS in remaining.

**Ratee With Supervisory Duties** is rated EXCELLENCE in any number of Objectives but SUCCESS in those Objectives for both Organizational Management and Leadership and EEO/AA.

**FAIR** - All Ratees who are rated NEEDS IMPROVEMENT in 1 or more Objective(s) and are NOT RATED FAILS IN ANY.

**UNSUCCESSFUL** - All Ratees rated FAILS in 1 or more Objective(s) - regardless of ratings assigned other Objectives.

## **APPENDIX D**

### **GUIDANCE ON WRITTEN PERFORMANCE APPRAISALS**

#### **1. ANNUAL APPRAISALS.**

a. Rating periods. Rating periods normally cover one year, but must cover at least 120 days. Circumstances sometimes require that a Ratee be appraised out of cycle. Examples follow.

(1) Shortened rating periods. Ratees usually receive annual appraisals for periods of less than one year under the following circumstances:

(a) The Ratee enters a position after the rating cycle begins, the annual rating period ends, and he/she has worked under a performance plan for at least 120 days. (NOTE: If the Ratee has already received a rating of record for that rating year (e.g., the Ratee was promoted within four months from the end of the cyclic period at the lower grade and was or will be rated at the lower grade), the Rater should add the time in the new positions to the next rating period rather than completing a second rating of record.)

(b) A Ratee who was reduced in grade or reassigned as a result of an Unsuccessful performance rating has worked under a performance plan for 120 days or more in the lower-graded position. (Until the Ratee is rated in the new position, his/her current rating of record is presumed to be Successful Level 3.)

(c) The Rater leaves within 120 days from the end of the Ratee's annual rating period.

(d) The Ratee leaves the position within 120 days from the end of his/her annual rating period.

(e) The Ratee is serving in a position to which temporarily promoted and has been promoted into the position for at least 120 days when the annual rating cycle ends. In this case, the Rater of the position to which temporarily promoted prepares the annual appraisal. Performance for the current rating period prior to the temporary promotion may be assessed in a Special appraisal which is attached to the Annual appraisal.

(2) Extended rating periods. Rating periods are extended usually to allow a Ratee to work the minimum 120-day rating period in a position under an approved performance plan before being appraised. The following are some examples of situations in which a rating period might be extended. In these cases, a rating of record should be prepared as soon as the employee works for 120 days under an approved performance plan.

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(1) The Ratee was on long-term training in a classroom environment and did not work under an approved performance plan for 120 days by the end of the cyclic rating period.

(2) The Ratee was on extended sick leave and did not complete 120 days of the cyclic rating period under an approved performance plan.

(3) The Ratee is in a performance improvement period (PIP).

(4) The Ratee is in a notice period for proposed disciplinary or adverse action based upon an offense that, if sustained, will have direct impact on the performance appraisal.

b. Due dates. Annual appraisals are due in the CPAC as soon as practical after the end of the rating period but at least within 45 days.

## 2. SPECIAL APPRAISALS

### a. General.

(1) Ratees who are detailed, temporarily promoted, or otherwise assigned away from their normal duties for 120 days or more during their annual rating cycles should receive performance plans and Special appraisals. Information provided in special appraisals should be considered by the rating chain in preparing the Annual appraisal. (If Ratees are on details or temporary promotions when their rating periods end, Annual appraisals should be prepared.)

(2) Special appraisals have the same requirements for performance plans, authentication, and assignment of overall performance ratings as do ratings of record, except that a Special appraisal used to return a probationary manager/supervisor to a non-managerial/non-supervisory position need address only failure to meet expectations pertaining to supervision or management.

(3) Special appraisals and performance plans are not sent to the CPAC when they are completed. Rather, they are attached to the Annual appraisal and forwarded for filing at that time.

(4) Special ratings are not entered into DCPDS.

(5) Due dates. Special appraisals should be completed as soon as possible after the end of the special rating but at least within 45 days.

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b. Departure of Raters. Raters who leave their positions should issue special appraisals for all Ratees under their supervision who have been under approved performance plans for at least 120 days. (NOTE: They should issue annual appraisals for those Ratees who have 120 days or less remaining to their current rating periods.)

c. Departure of Ratees. Ratees who leave their positions to accept other Federal positions after completing at least 120 days under approved performance plans should receive Special appraisals to provide to their gaining supervisors. (NOTE: They should issue annual appraisals for those Ratees who have 120 days or less remaining to their current rating periods.)

d. Acceptable Level of Competence (ALOC) Decisions. If a GS/GM employee's most recent rating of record does not reflect the employee's current level of performance and support an appropriate ALOC determination to grant or deny a within grade increase (WIGI), the rating chain should issue a new rating of record for ALOC decision. A copy of that rating of record which is used to deny a WIGI should be included in the adverse action file.

e. Ratings or Other Written Notices Prior to a PIP. Raters should strive to place Ratees who are failing to meet expectation on a PIP before the annual rating cycle ends. A Ratee whose performance deteriorates to Fails in one or more Objectives or Responsibilities should receive written notice specifying problem areas and improvements needed to meet expectations. This written notice could be in a number of forms, including a Special appraisal. At the conclusion of the PIP, the Ratee should receive another written notice, which could be a letter, a memorandum or a Special or an Annual appraisal (depending upon the annual rating schedule) - indicating improvement or servicing as the basis for appropriate performance-based action. (NOTE: If the annual rating period ends and the rating chain renders a rating of record of Unsuccessful without a PIP and the Ratee improves during the PIP, another rating of record should be issued at the conclusion of the PIP. This second rating does not negate the rating of Unsuccessful (i.e., the first rating remains in the DCPDS data base and is used to adjust Service Computation Date for RIF); however, it does become the Ratee's "current rating of record" which is used for purposes such as within-grade increase decisions.)

### 3. ADDITIONAL GUIDANCE

a. Special or other types of written appraisals transferred from other Federal agencies or Army activities should be attached to Annual appraisals. The information provided must be considered by the rating chain in preparing the annual rating.

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b. If a Ratee spends most of a rating period on detail (e.g., 8 months or more), the rating chain may choose to convert the Special appraisal to the Annual appraisal by completing the administrative data (Part I on the DA Form 7222 or DA Form 7223), referencing the attached Special appraisal, indicating that it is accepted as the rating of records, and signing the Evaluation Report in Part II as appropriate (e.g., Rater, Senior Rater, Ratee).